

Joint Meeting of the  
Alliance Board and Alliance Executive

20-22 May 2008  
Colonial Palace of the Royal Museum for Central Africa  
Tervuren, Belgium



Draft Meeting Report

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**Participants:**

<b>Africa Rice Centre (WARDA)</b>	<b>Papa Abdoulaye Seck, Director General Getachew Engida, Board Chair</b>
<b>Bioversity International</b>	<b>Emile Frison, <i>Alliance Executive Chair</i> Phindile Lukhele, Board Vice-Chair, replacing the Board Chair, Tony Gregson</b>
<b>CIAT</b>	<b>Geoff Hawtin, Interim Director General*</b>
<b>CIFOR</b>	<b>Frances Seymour, Director General Andrew Bennett, Board Chair</b>
<b>CYMMIT</b>	<b>Thomas Lumpkin, Director General* Lene Lange, Board Chair*</b>
<b>CIP</b>	<b>Pamela Anderson, Director General Ruth Egger, Board Chair</b>
<b>ICARDA</b>	<b>Mahmoud Solh, Director General Guido Gryseels, <i>Alliance Board Chair</i></b>
<b>ICRISAT</b>	<b>Willie Dar, Director General Stein Bie, Board Chair</b>
<b>IFPRI</b>	<b>Joachim von Braun, Director General* David Governey, observer in lieu of J.Von Braun for the first day of the meetings Achi Atsain, Board member, replacing the Board Chair, Ross Garnaut</b>
<b>IITA</b>	<b>Bryan Harvey, Board Chair</b>
<b>ILRI</b>	<b>Carlos Seré, Director General Uwe Werblow, Board Chair</b>
<b>IRRI</b>	<b>Robert Ziegler, Director General* Elisabeth Woods, Board Chair</b>
<b>IWMI</b>	<b>Colin Chartres, Director General Nobumasa Hatcho, Board Chair</b>
<b>World Agroforestry Centre</b>	<b>Dennis Garrity, Director General Lynn Haight, Board Chair</b>
<b>WorldFish Centre</b>	<b>Stephen Hall, Director General Remo Gautschi, Board Chair</b>

**Alliance Office staff**

**Anne-Marie Izac, Chief Alliance Officer  
Fiona Chandler, Scientific Liaison Officer  
Veronica Lazzari, Program Assistant**

**Josephine Hernandez, AB-Executive Secretary  
(supported by CGIAR Secretariat)**

**Observer**

**Rodomiro Ortiz, Alliance Deputy Executive Chair**

**Guests**

**Jonathan Wadsworth, DFID  
Rudy Rabbinge, Science Council Chair**

**Apologies**

**Hartmann, IITA Director General  
Yves Savidan, CIAT Board Chair  
Tony Gregson, Bioversity Board Chair  
Ross Garnaut, IFPRI Board Chair**

*\* Arrival 21 May 2008*

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**Introduction and Welcome**

The Chair (G. Gryseels) warmly welcomed participants to Tervuren and the Royal Museum of Central Africa. He briefed the meeting on activities and functions/collections of the Museum and plans for the next four years in renovating the Museum building (in honour of its 100<sup>th</sup> anniversary).

The Chair introduced and welcomed the new members of the Alliance, those representing Board Chairs and DGs, the Alliance Office staff, and noted the apologies from Hartmann and Yves Savidan.

The Chair noted that the agenda was built around the Change Management Process (CMP). The intent was to use the meeting to capture collective inputs from the Alliance in that process. He stressed: "If we don't do it others will do it for us. The status quo is not an option". Kathy Sierra and donors have emphasized that this is a time for a change and the centres have an important role in the process.

The Chair sought any other items to add to the agenda and with none received moved that the agenda was adopted.

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**Agenda Item 1: Update on the Change Management Process**

Emile Frison, Alliance Executive (AE) Chair, added that this meeting, at this point in the history of the System, is critical to the CMP. He exposed the background to and achievements so far of the CMP to provide a common understanding, especially to those new to the Alliance. Elements included a brief history of the process (Kathy Sierra's articulation of the need for real change in the System; formation of the scoping team; change steering team (CST); and the four working groups (visioning and development challenges; partnerships; governance and funding mechanisms). The Centre representatives on each of these groups were recognized (WG1: J. von Braun; WG2: P. Anderson; WG3: G. Gryseels, and WG4: M. Solh and AM Izac).

Emile gave an update on working group activities noting that all documents of the working groups are on the CGIAR website. He reported that the meetings of the WGs and the interactions with others were demonstrating an emergence of a "System" mindset which is being recognised, by partners. Emile echoed Guido's comments on the commitment of the

CGIAR Chair Kathy Sierra to the Change Management Process further adding that she is not pre-empting the conclusion of such a change.

WG1 (vision and development challenges) has put forward three strategic objectives (SOs) selected through a consultative process. These have been approved by ExCo (May 2008). The three SOs represent the heartland of the CGIAR:

1. Food for people: to mobilize science and technology to accelerate sustainable increases in productivity and production of healthy food by and for the poor.
2. Environment for people: to mobilize science and technology to conserve, enhance and sustainably use natural resources and biodiversity to improve the livelihood of the poor and as a response to climate change.
3. Innovation for people: to mobilize science and technology to stimulate institutional innovation and enabling policies for pro-poor agricultural growth and gender equity.

Most of the inputs to the WGs and the CMP need to be made over the June-August time period. A number of WGs and the CST are meeting in July to prepare their recommendations to the October ExCo. A retreat is planned 7-9 September at IRRI (Philippines) for WGs and partners and will include a debriefing from the Independent External Review. The CST will meet in September and just before ExCo in October to finalize the report before the final recommendations go to AGM in December 2008.

The Chair made a strong plea to pull together and provide a strong Alliance input to the CMP.

Alliance members registered concerns regarding the three strategic objectives (SOs) put forward by WG1 (Visioning and Development Challenges) and hoped it was still possible to send comments to WG1 on this. This was confirmed by the Alliance Executive Chair.

Another concern was whether donors are willing to change current funding mechanisms to the System. This concern was later addressed during the discussion with J. Wadsworth.

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## **Agenda Item 2: Update on the External Review of the System**

The objective was to update Alliance members on the current status of the Independent External Review, in particular a one-day meeting of the External Review Panel with its Advisory Committee. The update provided by the Chief Alliance Officer arose from this one-day meeting and is confidential.

The Panel's work to date has been far ranging in terms of substance and analytical insights about the System. The Panel has developed four hypotheses:

1. The architecture of international agriculture R4D needs to be revisited. The scope and capabilities of key players (CGIAR, NARs, WFP, FAO, IFAD, etc.) have changed.
2. The project-by-project funding of Centres needs to be complemented by a System replenishment cycle, with major donors contributing to a central fund.
3. Operations are best left to those who have expertise in the functioning of the Centres and are not an arena in which donors are likely to be effective.
4. Good donorship (Monterrey Consensus and Paris Declaration) requires more strategy, more substantive intellectual engagement, but less micro-managing by donors.

In terms of the new architecture the Panel has deliberated on what the CGIAR should be accountable for and where it should be responsible. For example the CGIAR should be accountable for all the results within its zone of control (IPGs) where it has power and

authority and means to carry out activities. The CGIAR should be responsible (but not accountable) for results within its zone of influence, when partner's activities deliver IPGs to users.

In-depth financial studies undertaken by the Panel indicate that:

- In constant dollars, funding to the CGIAR has declined since 1995 (by \$186m);
- Unrestricted allocations fell by more than 58% since 1995. Restricted allocations have increased slightly;
- The World Bank contributed \$35m unrestricted in 2007 (noting that System Office costs are increasing);
- Surpluses/deficits across all Centres show an ongoing pattern of high financial instability (unacceptable in private sector);
- Between 1995-2007 there has been a pattern of recurring crises within the System with little success in resolving root causes of instability.

On the basis of their analyses the External Review Panel have developed four models as noted below:

1. Status Quo: with added layers and complexities. This would entail no change to System coherence, donor or Centre behaviour but an improvement in units (including Challenge Programs). In such a model the root causes of the problems in the System are not addressed.
2. Full decentralization (following the lines of the Maurice Strong review): Donors do not change, nor do the Centres. IFAR is created; competitive bidding would eventually 'kill' the System as the root causes of the problems are not addressed by such a model.
3. Full centralization: A corporate model where Centres are 'owned' by the donors, function under an IFAR Board. CGIAR Director and Secretariat implement donors' decisions. Funding and operations are decided upon by donors. This model is not preferred as it does not decouple funding from operations and implementation and therefore does not address one of the causes of the current problems.
4. Balanced partnership between the centres and the donors with two principles:
  - i. Separate funding decisions (IFAR) from implementation and operation decisions (Alliance). Both funding and operations can then be more strategic
  - ii. Donor sovereignty is no longer absolute (through IFAR donors agree to provide regular replenishment on basis of performance), likewise, Centres' autonomy is no longer absolute (Alliance Inc. has strategic policy role, but is fully owned by the Centres).

This model addresses the root causes of the current problems. These models have been shared with Kathy Sierra. A further point made to the presentation was an interesting result of the survey conducted by the External Review Panel which indicated that 70% of the respondents wanted a change of the governance in the CGIAR.

Anne-Marie Izac summarized implications for the Alliance as:

- The Alliance must come to an agreement on the principles it wants to propose for a new type of partnership for the future CGIAR, and on the form of this new partnership;
- The CMP provides a rare opportunity to propose a new partnership to donors;
- It is up to the Alliance to flesh out the components of the partnership; to be strategic and bold in its thinking and be good negotiators;
- The donors will welcome it.

In conclusion the Chief Alliance Officer noted that the material prepared by the External Review is far from being finalized, in fact was just obtained from one day of several days of the Panel's meeting. What is presented were still tentative results and should be considered work in progress with changes expected to happen. Hopefully the Alliance meeting will develop the information required to present an Alliance proposal(s) to the CMP and to donors.

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### **Agenda Item 3: Points from the Alliance questionnaire and inputs from some Centres into the Alliance brainstorming**

The Chief Alliance Officer presented the results of the questionnaire completed by 18 members of the Alliance in the preceding weeks, including the general comments of those that did not complete the questionnaire. The intent of the questionnaire was to gauge Centres willingness to contemplate significant changes in the System to identify possible 'sticky' points that would have to be addressed during this meeting. There was:

- General agreement on a small-sized Alliance Board with joint strategic policy-making responsibilities and support for smaller Centre Boards as long as efficiency and effectiveness are not compromised;
- No clear consensus on the precise make-up of such an Alliance Board, although there was broad support for nominations being made by Donors, by Centres and by partners;
- Support but concern and questions about whether this new legal entity should rationalise Centre mandates, allocate resources and about the type of support (scientific, financial) it should have.

Supplementary input was provided in advance by the ILRI Board and Management on three possible scenarios for the System – atomization, clustering and balanced negotiation. This was further elaborated upon by Carlos Sere in a short presentation. The paper and presentation included the results of a SWOT analysis, the pros and cons of each scenario, the value proposition of the CGIAR and the Alliance's role in negotiating in a post-entitlement era.

Additional material for discussion included: two papers prepared respectively by the ICARDA Board and by the WARDA Board and Management (their view on the CGIAR Change Management); emails sent to the listserver by Lynn Haight and Hartmann; the Independent External Review (four models presented in Agenda Item 2); a consultants report *Options for the Legal Status of the Alliance of CGIAR Centres* (13 May 2008), and a possible example of an "Alliance Platform on soils" that could be entered into if the Alliance had legal status (prepared by CIAT-TSBF). Regarding the consultant's report on options for a legal entity, the report stresses that the Centres must decide on the type of entity they would like; there are no particular legal reasons for one joint venture model to be more effective than another.

In concluding it was determined that there was a need for the Alliance to agree on the principles for a preferred model. Furthermore the functions of Centre Boards vis a vis an Alliance Board need to be resolved and further discussions are required to describe the modalities of the proposed International Fund for Agricultural Research (IFAR). It is clear that there are a number of options to stimulate discussions within the working groups.

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### **Agenda Item 4: Discussion with J. Wadsworth and R. Rabbinge on the Change Management Process**

Jonathan Wadsworth, co-Chair of the Change Management Process (CMP), gave a presentation on the background of the CMP, its formal plans, the CMP stakeholder consultations and the path forward.

As a preface to his presentation, Jonathan noted that the intention of the CMP was not change for the sake of change but rather to make meaningful changes to the System in the service of greater impact.

The background to the change process was presented (reflecting the comments made by the AE Chair under Agenda Item 1) and noted the progress to date especially in regards to WG1 (Visioning and Development Challenges). Jonathan reported that WG 1 had developed a visioning framework for the CGIAR, which although largely articulated, will require wordsmithing on certain elements (e.g. mission). The vision leads into three preliminary strategic objectives for consideration. Notional indicators, key opportunities, the major players, the CGIAR comparative advantage and the CGIAR functions which support the key opportunities are being developed.

A key pillar of the CMP is strengthening trust and alignment. Alignment occurs when all parties are prepared to support a decision as if it were their own. This is distinct from agreement in which all parties not only support a decision but also feel that it is their first choice. Empathy is another key skill the CMP is trying to build as is the need to work towards the creation of a “System Mindset”.

By AGM the CMP will have systematically engaged all major CGIAR stakeholders in soliciting their feedback and input into the work of each of the Working Groups, as well as the integrated change plan.

The Chair introduced Rudy Rabbinge who echoed the sentiments expressed by Jonathan. He stressed that historically the Centres were accountable for their own survival so there were no incentives to work at the System level. This has changed but the Centres are still struggling with the notion of ‘System level’ (e.g. they have not created a legal entity yet). The Alliance must realise that at the System level something has to happen/change but this has to be owned by the Centres. They are the most important players and without their feeling of ownership a change will not be successful.

Rudy felt that the vision and mission emerging from WG1 in the CMP are fine but the strategic objectives need reformulating and be better balanced (e.g. they are currently too crop and productivity oriented). Rudy recounted his theory of the different phases of the CGIAR noting that the System is now entering the ‘seventh phase’ where partnerships take on more importance. It will be important to identify core competencies and where Centres will take the lead, where they should participate as a partner and where they should let partners take the lead. In terms of input to the CMP working groups, governance is very important but equally important will be for the Alliance to take a lead in the Partnerships and Funding Mechanism WG deliberations.

Rudy recounted the example of change at Wageningen University. That institution faced challenges and explored scenarios for change. In the end it reformulated its vision and mission, identified core competencies and then implemented the changes (moving from 50 research institutes to 5 knowledge units). He reiterated that any change process requires clear vision and mission, leadership and political will and the recognition from the inside that the change is better than the status quo.

#### *Comments and discussion:*

In response to the concern raised earlier in Agenda Item 1 about the capacity of donors to adopt a different funding mechanism, Jonathan responded that there are large amounts of funds for research that are seeking ‘homes’. At least 50% of the donors would use an IFAR-type fund. Rudy believes that there is a clear willingness but there is a need for a facility that would ensure that the funds are transparently allocated.

Alliance members expressed concerns on the strategic objectives including the relationship between the SOs and system priorities and development challenges. Furthermore, the notional indicators, key opportunities, the major players, the CGIAR comparative advantage

and the CGIAR functions which support the key opportunities will need to be a lot clearer. In the SC Chair's opinion the development challenges evolved in the three SOs. The SOs have to be in line with the 5 priorities which have to be understood as competencies. What is most needed is for us to address the SOs at the System level, so that investments are stimulated and the entire System can best deliver – with less water, less land cultivated, less pesticides, less environmental side effects.

One Alliance member stressed that the CGIAR has actually been less prone to mission creep and misuse of funds than other organizations. There were other ways to look at change (reflecting on FAO and IFAD as potential 'homes' for a large fund) and whatever home for large funds is found it needs to be a solid organization with instant recognition and trust. Can the CGIAR demonstrate this at this point in time?

General discussion concluded that in reality the CGIAR is only one of many players. It must not reflect only internally but identify its uniqueness and how to engage meaningfully with other players. Without being inward looking, the CGIAR can point to its mission to deploy research for poverty reduction and its role as a broker with high level access (without the baggage of the UN system and conducting its business in an open and transparent manner) as a credit.

In conclusion the Chair thanked the speakers for their presentations and all present for their contributions. He acknowledged that the CGIAR was one of a number of other players in agricultural research and that the System had much to build on in the coming period of change. It seems clear that the status quo is not an option and the Alliance will have to be ambitious in identifying its role.

**Further action:**

- Further elaboration on the SOs, including their relation to the System's priorities, is being done by the Science Council, which welcomes Alliance input.
- Input to the CMP working groups can be directed to the Alliance representatives, who should also solicit input via email and other approaches as appropriate, as well as providing feedback to the rest of the Alliance.

Day 2 plenary session started with welcoming Joachim von Braun, Thomas Lumpkin, Robert Zeigler, Lene Lange and Geoff Hawtin to the Alliance Meeting.

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**Agenda Item 5: Working Groups: Discussion on strategic issues in the Change Management Process**

Over the previous evening the participants had been asked to think about principles that would guide the Alliance's description of what the new CGIAR will be like.

As a preface to the discussion, members were asked to refrain from using the argument they needed to "refer to our Boards" as a means to defer decisions, and not to engage in finger pointing and blaming others (donors, Secretariat etc.). The Chair opened the floor seeking participants' inputs to these principles/characteristics.

The principles proposed by Alliance members are in Annex 1.

The Chair synthesized these suggestions into the following:

- Subsidiarity
- Having a simplification of the System – less bureaucratic – easier to understand
- Clear division of labour and responsibilities between funding and implementation

- Avoid, if possible, changing Centre constitutions
- Repositioning the System in the context of the 96%
- Long term commitment (removal of volatility)
- Appropriate and realistic time frame for implementation
- Support and protect the scientific teams doing the research
- Maximise the early benefits and not the transaction costs

Four working groups were formed under the leadership of Lynn Haight, Carols Sere, Pamela Anderson and Andrew Bennett. The Chair encouraged the members to be bold and ambitious and, based on the principles, discuss and prepare a design of the whole System, with one or two preferred options (which could be inspired by, but not limited, to options already presented). The expected outcome would be in-depth discussions leading to the development of a message/position/proposal and collective view of the broad lines of governance for the new CGIAR System.

Reports back from the four working groups to the plenary: results and models from the four working groups are presented in Annex 2.

The AE Chair attempted to draw together areas of commonalities and convergence between the models presented by the four working groups noting that:

- There is no immediate action to change the Centres ability to getting funding outside of a central mechanism
- The need for a central function that does a number of things for the System and who has the authority for allocation of funding
- There will be a number of delegations of authority from the Centres, however there is a need to define those delegations and how they would function (e.g. composition of Boards)
- At least two groups expressed the need for formal links with outside partners and suggested that a re-invigorated GFAR could play such role
- Implicit in all models is that Centres are making some changes.

The AE Chair put forward for consideration two options on allocations of funds in the System.

1. Allocation by a Board jointly appointed by donors and Centres (and partners) as described by WG2 and 4 or
2. Two separate functions, allocation of funds managed by the purchasers of results (donors) and implementation decisions made by the providers (Centres).

#### *Comments and Discussion*

One further commonality put forward was that all four models ensure that donor driven micro-management ceases. What was missing from the various models was the mechanism to effect change. It seems clear that donors want change and the necessary change will not be done through consensus – another mechanism will be needed. Furthermore, there is a need to include a clear mechanism for donors to provide incentives and/or disincentives to Centres that do not perform satisfactorily. As a final remark on the four models presented it was noted that at the end of the day, Centres will have to work better together than they do today and this should be added to the preferred model.

Another part of the discussion focused on the value of early interaction with donors who might support IFAR. It was noted that donors would welcome this and furthermore, through the CMP working groups, there are many donors that had not indicated that they are interested in investing in a central funding mechanism (e.g. IFAR). In any event, more clarity on the Alliance shared vision will first be needed, whether this is a diagram, narrative and

diagrams and/or a list of principles/characteristics. After greater clarity is obtained, this issue will have to be revisited.

Part of the discussion revolved around whether the Alliance should have one preferred option (perhaps not with many details but at least what the Alliance believes is the future of the System) or a number of options that have been considered. The point was made that entering in any negotiations with only one option may limit the Alliance. It might be preferable to have two or three options with accompanying characteristics and use these to open a dialogue with donors, with a more detailed description of a favoured option.

The session concluded with the decision to form a task force of the AB and AE Chairs, the Chairs of the four working groups and the CAO to narrow the options of the models and come up with a consensus to present to the Alliance during the next session.

As pointed out, there could be radical consolidation of what there is now but leaving the Centres the way they are now is not really a good deal for the donors. The Centres will have to give up some things but they need to be clear what these are before entering negotiations. Conversely it may be that Centres remain unchanged in the different options. Either way the task force was strongly encouraged to consider these points and bring these to the group for wider discussion and agreement.

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#### **Agenda item 5: Continuation of the discussion during the last day of meetings**

The Chair noted that the focus of the remainder of the meeting would be to continue the discussion and debate on an Alliance stance vis a vis the structure and functions of a new CGIAR. The different agenda items originally prepared for this last day of meeting would thus be dealt with virtually.

The AE Chair reported back on the results of the previous evening meeting of the task force (Working Group Chairs, AB and AE Chair and CAO). Based on the principles agreed upon during the previous day (with the addition of one more), the task group had formulated the general structure and functions of what was termed (as a placeholder term only) the “Joint Venture”. This included how funding and partnerships would be handled as well as what was expected from the Centres and the donors in this “new deal”. The presentation is in Appendix 3.

What was proposed next is that a short paper would be prepared, approved by the Alliance and which can be shared with Centres’ staff and Boards. The representatives from the Alliance to the CMP WGs can share this paper as part of the WG consultations.

#### *Comments and Discussion*

On the model itself: It was noted that the model presented was at a relatively high level of generalities with some of the variance from the other models built into the proposed model. It was a good point of negotiation and illustrated enough change to be credible. However, as pointed out the ‘devil is in the detail’ and it was not yet really clear on what the Joint Venture was. Furthermore it wasn’t clear what the Centres would gain and relinquish in the scenario presented. If nothing else, if the details cannot be resolved, the Alliance option should include a process to address these details.

A quick poll of the group noted that there were no participants in favour of the status quo (remaining the same) and although there was a majority in favour of the option presented by the task group (with the understanding that more details would be required including annexes

of other options considered by the Alliance), there was agreement that the Alliance should develop a paper including the various models discussed by the four working groups.

On general process and the way forward: It was re-iterated that in the context of discussions in the CMP on possible models there will be a number of these that will be explored by the stakeholders. The Alliance option, albeit an important one in the process, would be just one input and be subject to similar negotiations as models prepared by other stakeholders in the CMP. What is important is that if the Alliance does not have a preferred option it will lose an important opportunity.

As pointed out, it would be difficult to decide on two or more options at this stage, as only one has received added attention and more elaboration.

It was agreed that a paper be prepared that outlines the option presented by the task force (noting it needs to be more fully fleshed out e.g. who is a subsidiary of who, delegation of power). Other options will be included in the paper noting that they also had been considered by the Alliance. All options should include pros and cons/strengths and weaknesses and how they address the principles agreed upon by the Alliance. The paper should signal that based on the principles other models could evolve.

Suggestions for the paper:

- Include the different allocation options – one (as in the preferred model) and three (as in the one model put forward by WG1 advocating a decentralized model);
- Include narrative and graphics of all models considered by the Alliance working groups;
- Include a mechanism/process for conflict resolution;
- Options should spell out the future and how the Alliance is committing to change in the short and longer term;
- Specify what happens with the donors that don't want to subscribe to the IFAR-type funding;
- It is up to donors (or donor council if this is the name the body gets) to determine if they need a scientific advisory council. It should not be up to the Alliance to proscribe this;
- The paper needs to be explicit that a revitalized GFAR (not GFAR as it is now) is called for.

**Further Action:**

1. In the immediate term, the Chief Alliance Officer will circulate a revised PowerPoint reflecting the changes and suggestions made by the Alliance at the Tervuren meeting.
2. The Chief Alliance Officer will then write a paper that outlines in more detail the option from the task force with the addition of the different funding allocation options (noting it needs to be more fully fleshed out e.g. who is a subsidiary of who, delegation of power etc...). The other options considered by the Alliance working groups should be included but not as elaborated.
  - Draft 1 will be circulated to the Chairs of the four working groups (P. Anderson, C. Sere, A. Bennett, L. Haight) and the AB and AE Chairs, for their input;
  - Draft 2 will be circulated for Alliance approval by **early June 2008**;
  - Alliance members should share Draft 2 with their Centre staff and full Boards and provide comments back to the Chief Alliance Officer by **17 June 2008**;
  - Paper to be finalised by **20 June 2008** and available for wider circulation.
3. Alliance members on CMP WGs take the paper into WG consultations.

4. Consideration to be given to developing a brand for the option identified by the Alliance that everyone can rally around and identify with.
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#### **Agenda Item 6: Report from the Chief Alliance Officer**

**Further Action:** Due to lack of time to present the report, it was decided to circulate this to Alliance member via email. Comments on the report can be directed to the Chief Alliance Officer.

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#### **Agenda Item 7: Policy on intellectual assets and genetic resources issues**

**Further Action:** Due to lack of time to fully discuss this issue, it was decided to defer the discussion to an email consultation.

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#### **Agenda Item 8: Appropriate level of reserves for the Alliance**

**Further Action:** Due to lack of time to fully discuss this issue it was decided to discuss the report and recommendations more fully by email.

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#### **Agenda Item 9: AOB, conclusions, next steps, next meeting**

##### Report from CIAT

The AE Chair reported on a closed session at ExCo regarding developments at CIAT in particular the CIAT Board of Trustees. In brief, at the ExCo meeting there had been recognition of the efforts made at CIAT to resolve the situation and of the constructive changes implemented. However, in the interest of CIAT, ExCo thinks that a more radical signal of change is expected. To signal such a new start it was considered by ExCo that the resignation of the CIAT Board, en masse, would be appropriate.

Further elaboration was made by the interim DG of CIAT on the situation, especially regarding the way ExCo's discussions were communicated to the CIAT Board and Management by the CGIAR Chair. Over the coming weeks a new Board will be constituted and the DG solicited names from the other Alliance members for suitable candidates. The search for a new DG is on track (the recruitment will be reopened in September 2008) with the expectation to have a new DG on board at CIAT by the first quarter of 2009. The AB Chair expressed concern about the process that had been followed to handle this CIAT issue during and following the EXCO meeting. The concern was shared by many members.

##### Conclusions

In closing the meeting the AB and the AE Chairs reiterated the next steps and thanked the members for their energy and full participation and noted that the results of the meeting will certainly lead to a strong Alliance input to the CMP.

### Summary of further actions:

1. Further elaboration on the links between the SOs and the System priorities is being done by the Science Council. Alliance input to this has been welcomed by the Science Council Chair.
2. Input to the CMP working groups can be directed to the Alliance representatives, who should also solicit input via email and other approaches as appropriate.
3. In the immediate term, the Chief Alliance Officer will circulate a revised PowerPoint reflecting the changes and suggestions made by the Alliance at the Tervuren meeting. This is attached in appendix 4.
4. The Chief Alliance Officer will then write a paper that outlines in more detail the option from the task force with the addition of the different funding allocation options (noting it needs to be more fully fleshed out e.g. who is a subsidiary of who, delegation of power etc...). The other options considered by the Alliance working groups should be included but not as elaborated.
  - Draft 1 will be circulated to the Chairs of the four working groups (P. Anderson, C. Sere, A. Bennett, L. Haight) and the AB and AE Chairs, for their input
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  - Paper to be finalised by **20 June 2008** and available for wider circulation
  - Alliance members on CMP WGs take the paper into WG consultations
  - Consideration to be given to developing a brand for the option identified by the Alliance that everyone can rally around and identify with.
5. The report from the Chief Alliance Officer will be circulated to the Alliance members via email. Comments on the report can be directed to the Chief Alliance Officer.
6. The policy on intellectual assets and genetic resources issues will be discussed via an email consultation.
7. The report and recommendations on the appropriate level of Alliance reserves will be discussed via an email consultation.

## ANNEX 1

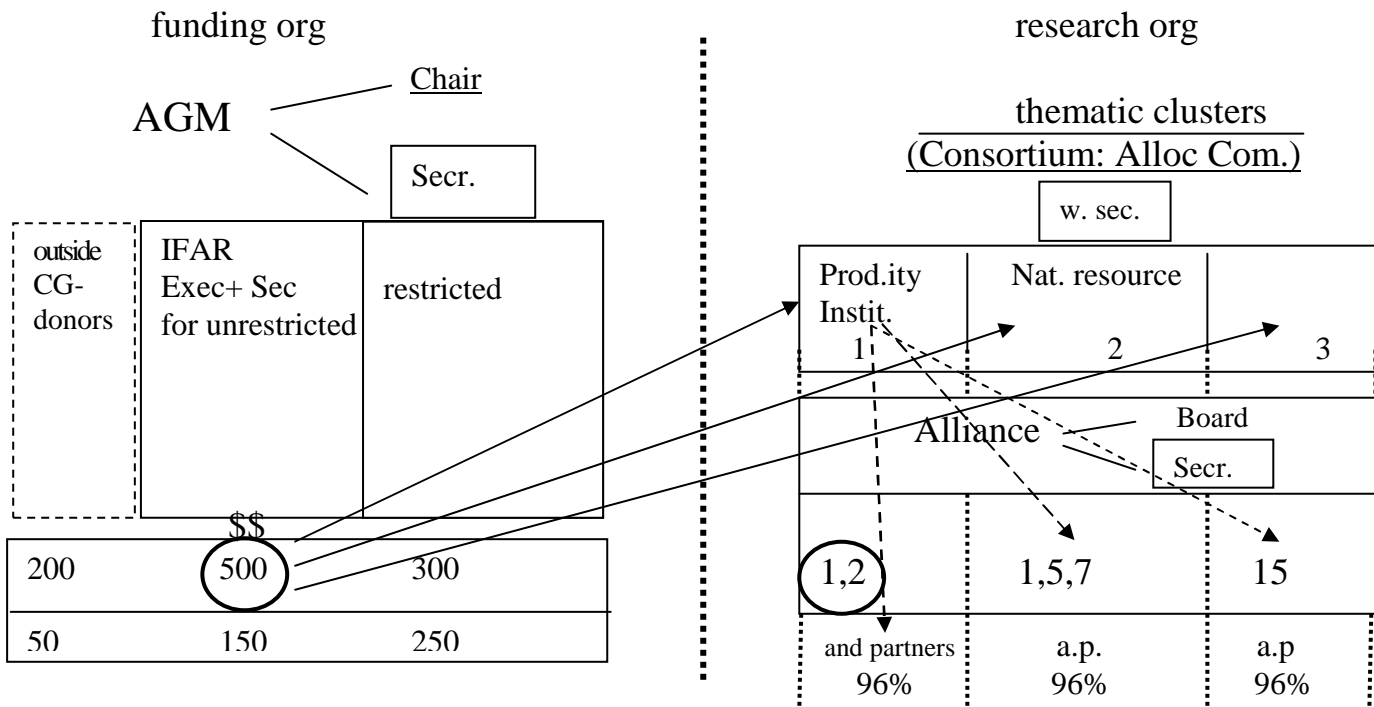
### Principles put forward by the Alliance members for a future CGIAR

- The subsidiarity principle
- Two divisions – entities that fund and those that implement/execute
- Individual Centres and sovereignty of their research
- Autonomy of Centre management and Centre boards
- Competence based governance
- Long term commitment of donors to the System; multi year funding
- Accountability of Centre management and Centre board for resources entrusted to them
- Better balance of power, responsibility and accountability across the System
- Build back some of the trust
- Do something about transaction costs
- Redesign ourselves as a 21<sup>st</sup> century research paradigm (do not just focus on financing)
- Understand where the CGIAR fits internationally in the whole global research agenda
- Who drives the research agenda?
- Roles and responsibilities of the various entities needs to be crystal clear
- Realistic understanding of timescales (e.g., revisiting centre constitutions will take time); what can be achieved by AGM and what must follow after.
- Should design the new entity in such a way that maximize benefits up front and span the transaction costs over time
- Find constructs that will avoid, if possible, the need to revisit Centre constitutions

ANNEX 2

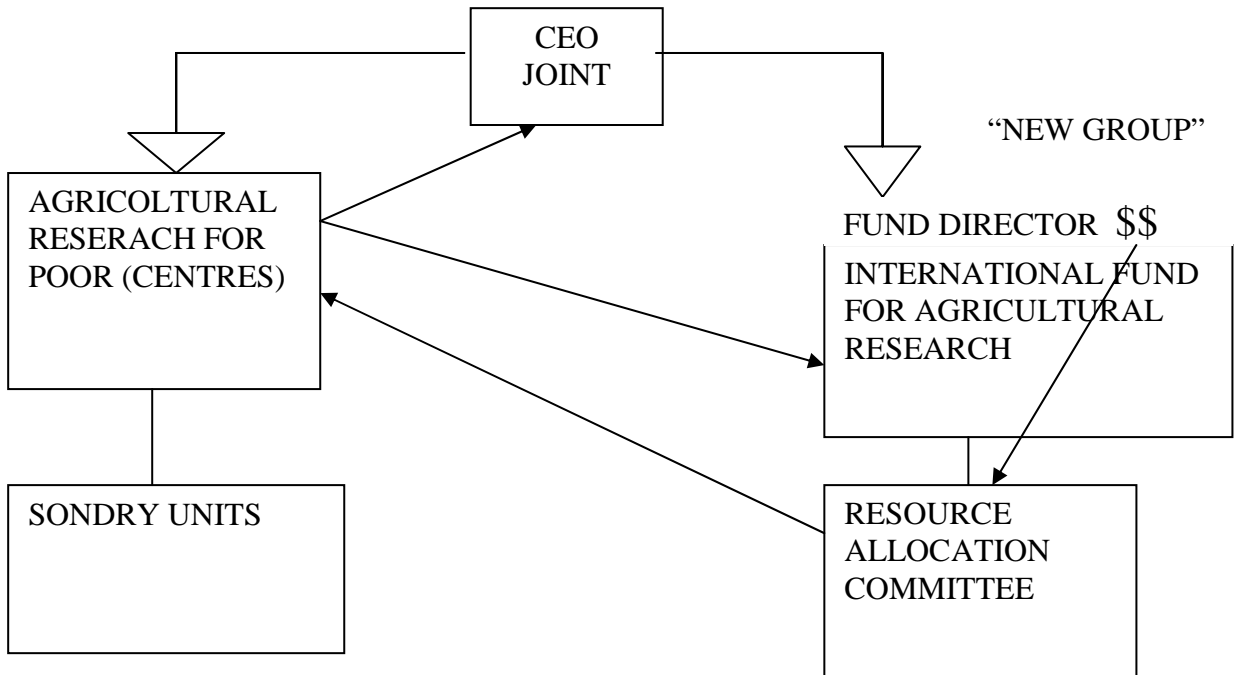
Models from the four working groups<sup>1</sup>

**WG1 -option A.**

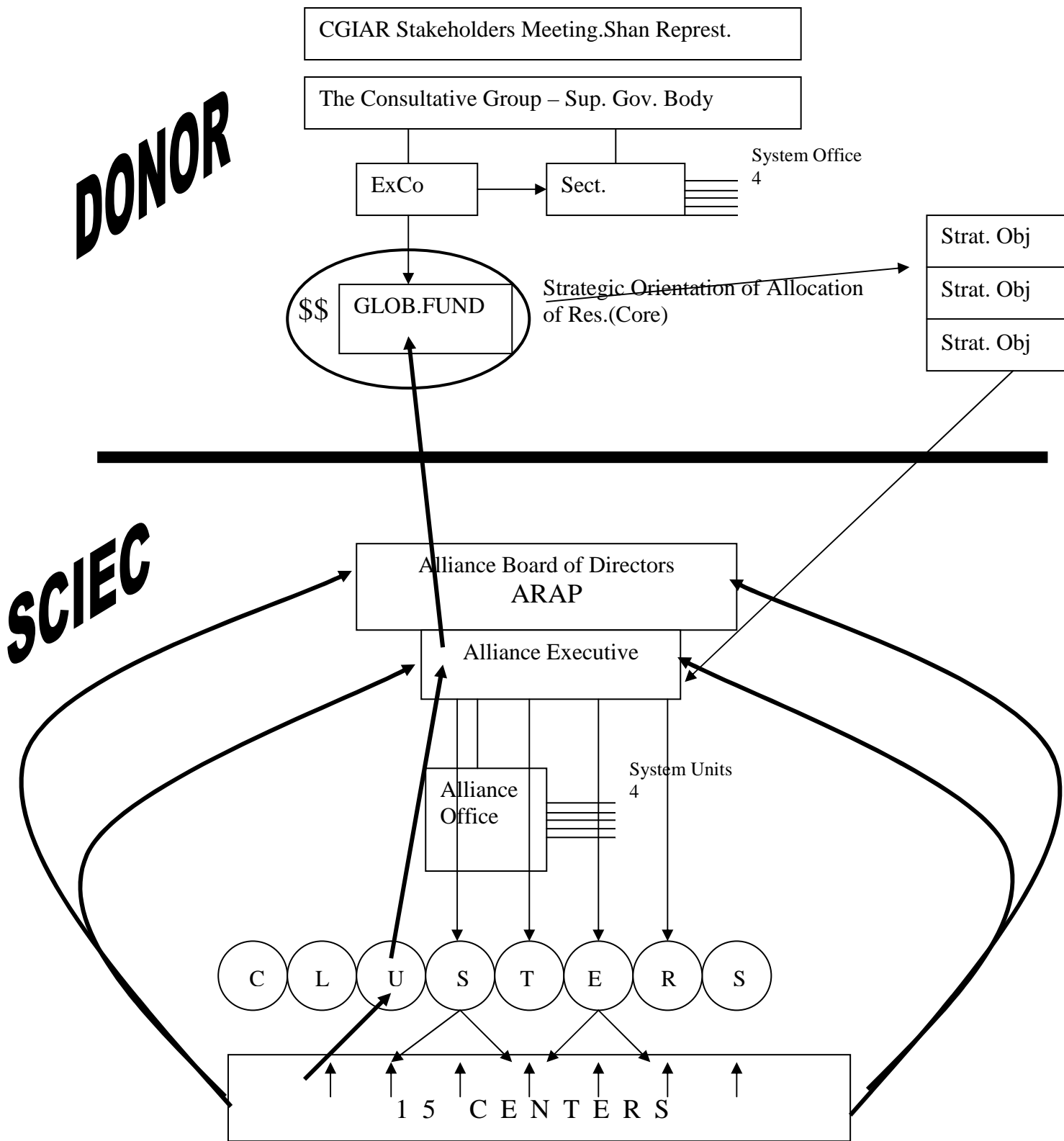


<sup>1</sup> These drawings represent the free hand drawings prepared by the working groups during the session.

**WG1-option B. External Review (adapted)**



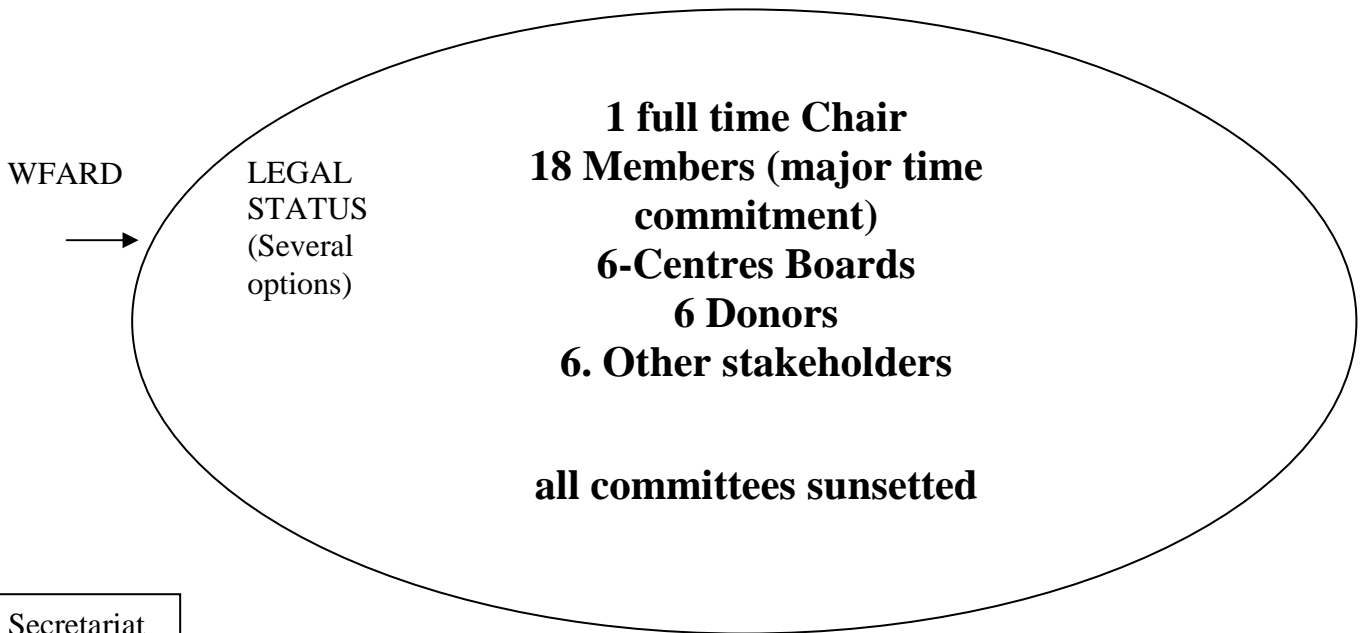
## WG1-option C. Alliance Model



**WG2**

**WFARD**

**IBAR**



Secretariat

- Translating WFARD input into research agenda
- allocation of core funds
- mandate issues
- high level resource mobilization
- result monitoring & management
- strategic science input through ad hoc panels
- public awareness/advocacy
- oversee multicentre initiatives
- common services
- mobilizing new initiatives

## **CENTRE BOARDS**

## **CENTRES**

- conduct science
- financial and programmatic accountability
- capacity building
- catalyzing science networking
- entrepreneurial resource mobilization
- development science innovation
- advocacy and public awareness
- more?

## **Vision**

Need to consider the unique role of the CGIAR as provider of IPGs to alleviate poverty of contribute to economic Growth

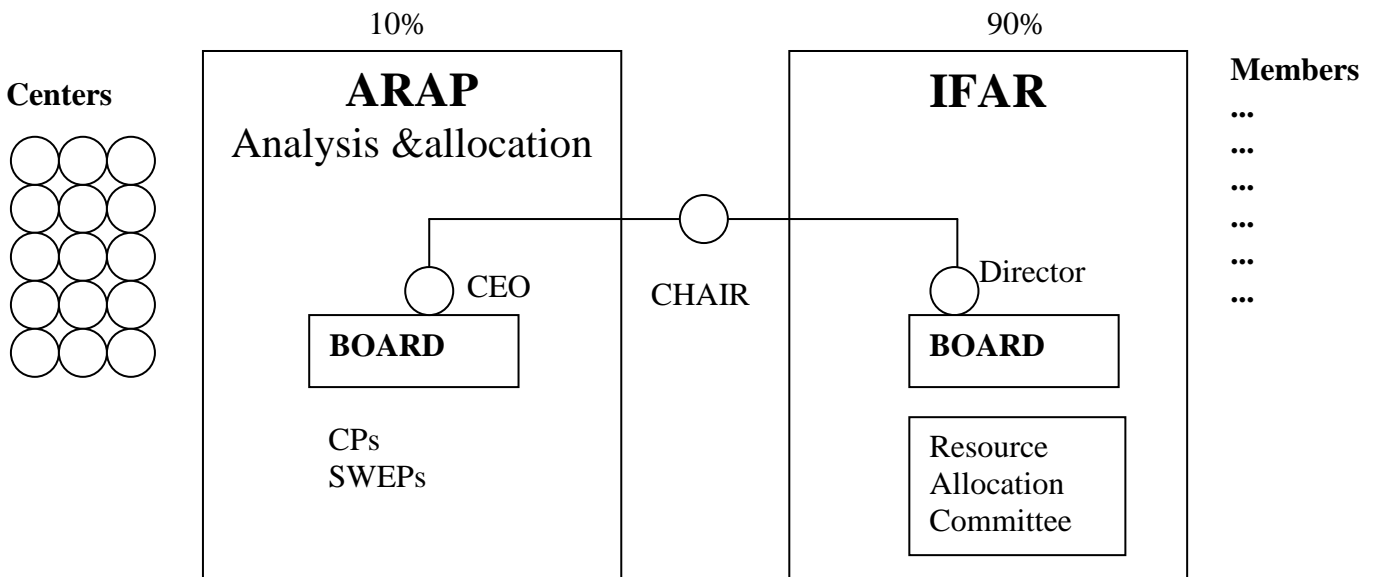
## **CGIAR 3 SOs**

- more focus on agriculture to be looked at as the engine for Economic Growth
- climate change as a cross cutting issue across the 3 SOs
- innovation is also a cross cutting issue in the SOs

## **Assumptions**

- funding mechanism to provide sufficient funding for core activities
- additional funds will be obtained outside this funding mechanism

## WG3

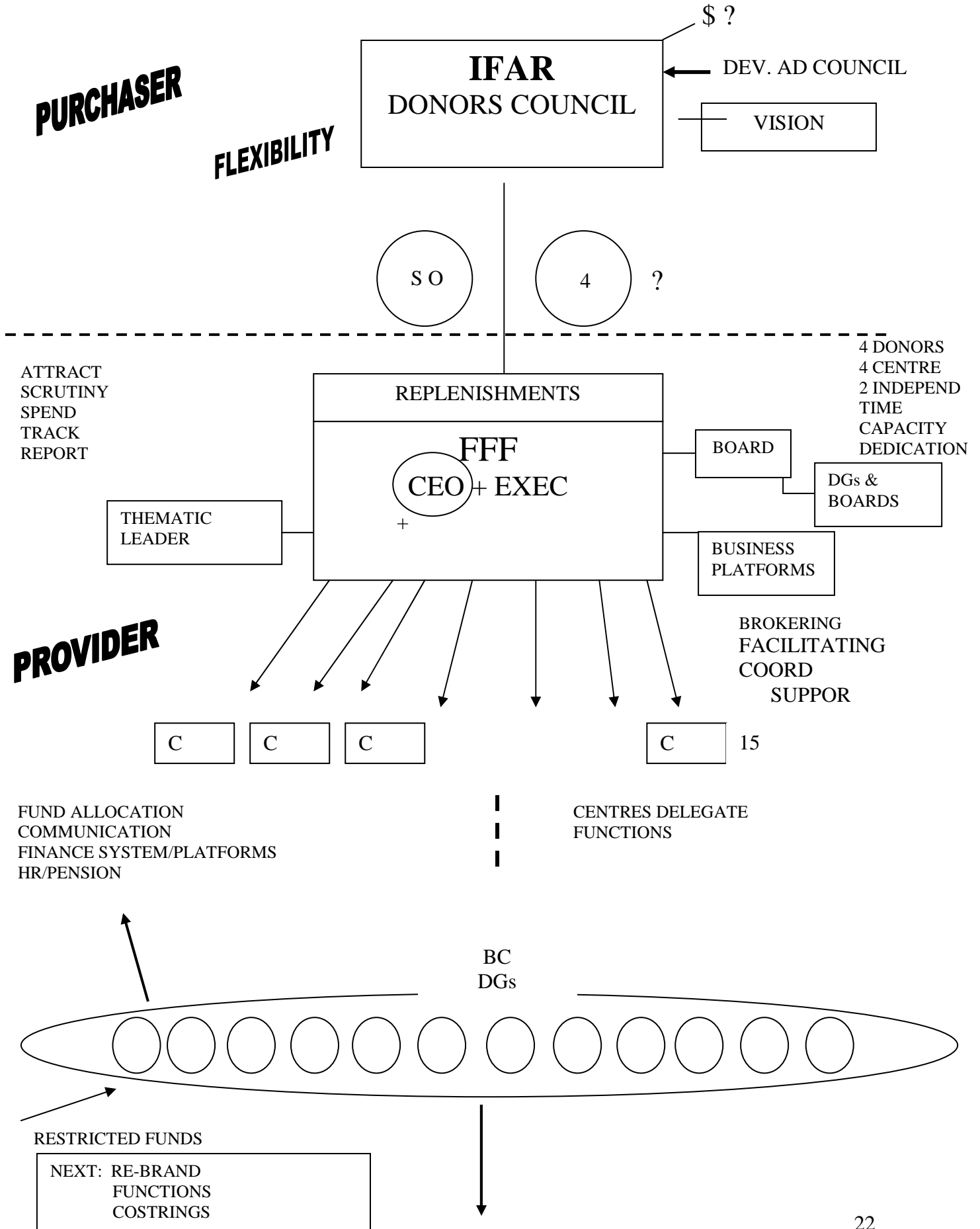


### ARAP board

Cereals,	Forestry	GFAR
Roots/Tuber	Policy	Regions
Pulses	Livestock	
Water	Fishes	

- 1. Board composition**
- 2. Chair?**
- 3. AGM ⇒ stakeholder assembly with GFAR**

# WG 4. DONORS-BENEFICIARIES- CENTRES



## ANNEX 3

### PowerPoint Presentation <sup>2</sup>



# Towards a “New Partnership”\*

An input from the Alliance (Draft 2) to  
the Change Management Process

*\*Final name to be decided*



## Principles

- Subsidiarity
- Having a simplification of the system – less bureaucratic – easier to understand;
- Clear division of labour and responsibilities between funding and implementation
- Avoid, if possible, changing centre constitutions
- Repositioning the system in the context of the 96%
- Long term commitment (removal of volatility)
- Appropriate and realistic time frame for implementation
- Support and protect the scientific teams doing the research
- Maximise the early benefits and not the transaction costs
- Doing away with bodies that don't fit in with the new model
- Consolidation of all accountability and reporting requirements for the centrally allocated funds
- People serving on Boards or Committees do so in their personal capacity

<sup>2</sup> This PowerPoint presentation, prepared by the Chief Alliance Officer based on inputs by Alliance members, was circulated on 23/05/2008.

## The “New Partnership”

- Governed by a “Partnership” Board appointed by the donors (4); centres (4), and partners (may include nominees from the co-sponsors) (4): *Actual numbers are indicative*
- Chair and members
- Ad-hoc advisory function to the Board (Board will commission scientific advice as it considers necessary)
- Will need a Charter that clearly lays out the authority the Board will have
- The power this body will have will be through the funds it controls in the ‘joint pot’ (IFAR type of fund)

## Support to the “New Partnership”

- CEO appointed by the Board
- Corporate office and common services

## Functions of the “New Partnership”

- New Functions:
  - Allocation of unrestricted funding to the System (IFAR-type funding)
  - Moving from individual to joint planning of the work for funds dispersed by the IFAR-type mechanism
  - Rationalization of mandates (the authority to do this is through funding)
  - Accountability to the donors who have agreed to pool their resources
  - Overall accountability of the Board is to donors, partners and centres
  - System level fundraising
  - Foresight and strategic planning for the System
  - Encourage synergies by formation of clusters
- Functions devolved to the Board:
  - Provision of common services (e.g. communication, finance systems, HR systems, IT, IP ...)
  - Brokering/coordination within the System
  - Communication, public awareness for the System

## What functions stay the same

- Restricted funds are allocated and managed as currently done; centres continue to seek such funds in their individual capacity
- Non-CGIAR sources of funding are outside the “New Partnership” unless unrestricted allocations are made by non-CGIAR members through an IFAR type of mechanism
- Existing Centre Boards will continue to have fiduciary responsibility and responsibility for strategic direction for the centre’s agenda

## Funding

- Donor Council that includes co-sponsors and those donors who are not contributing to the “pot” (convened by the WB? If that happens it might entail a secretariat – does that move us forward?)
- The Donor Council discusses, agrees and signs up on a common vision and strategic objectives
- It commits to stable funding of the System (e.g. through a replenishment process)
- Donor Council appoints people to the “New Partnership Board

## Partnerships

- Interact with a new, reinvigorated, reconstituted GFAR in
  - Regular consultation at GFAR Forum (instead of AGM)
  - Nomination of Joint Venture Board member(s)
- Consultation with regional fora and ARIs
- Involvement of partners in implementation of international research (increasing catalyst and broker role for the centres)

## The “New Deal”

- Clearer division between Centre level responsibilities (assumed by Centres and Centre Boards) and complementary System level responsibilities assumed by the “New Partnership” Board
- The New Partnership Board will provide a mechanism to make system level decisions and resolve system level conflicts
- The New Partnership is a mechanism to institutionalise collective action and as such will attract stable, unrestricted funding

## Going Forward

- Over the next few days, AM Izac drafts a short paper
  - Put more options (e.g. different funding allocation options) in the preferred model e.g. alternative model for the funding allocation
  - Flesh out four working group models (prepared at Alliance meeting) including more detail on the balanced partnership model (from the external review)
  - Draft 1 will be circulated to the Chairs of the 4 WGs in Tervuren (P. Anderson, C. Sere, A. Bennett, L. Haight) , AB and AE Cahirs, for their inputs
- Draft 2 will be circulated for Alliance approval by **29 May 2008**
- Alliance members should share draft 2 with their centre staff and full Boards and provide comments back to the AM Izac by **10 June 2008**.
- Comments will be integrated into a final paper by AM Izac.
- Paper to be finalised by **29 June 2008** and available for wider circulation
- Alliance members on CMP WGs take the proposed “New Partnership” into WG consultations